

Form PTO-1449 (modified)

Atty. Docket No.  
UTSD:798US/MTGSerial No.  
09/905,670

List of Patents and Publications for Applicant's

Applicant  
Phillip D. Purdy

## INFORMATION DISCLOSURE STATEMENT

Filing Date:  
July 13, 2001Group:  
3763

(Use several sheets if necessary)

U.S. Patent Documents  
See Page 1Foreign Patent Documents  
See Page 2Other Arts  
See Page 2

## U.S. Patent Documents

| Exam.<br>Init. | Ref.<br>Des. | Document<br>Number | Date     | Name                        | Class | Sub<br>Class | Filing Date<br>App. |
|----------------|--------------|--------------------|----------|-----------------------------|-------|--------------|---------------------|
| mlh.           | A1           | 5,085,631          | 2/4/92   | Leighton                    | 604   | 28           | 2/26/90             |
|                | A2           | 5,098,393          | 3/24/92  | Amplatz <i>et al.</i>       | 604   | 167.03       | 5/31/88             |
|                | A3           | 5,297,564          | 3/29/94  | Love                        | 128   | 898          | 8/27/92             |
|                | A4           | 5,385,152          | 1/31/95  | Abele <i>et al.</i>         | 600   | 585          | 5/14/93             |
|                | A5           | 5,397,305          | 3/14/95  | Kawula <i>et al.</i>        | 604   | 96.01        | 11/30/92            |
|                | A6           | 5,423,849          | 6/13/95  | Engelson <i>et al.</i>      | 606   | 191          | 1/15/93             |
|                | A7           | 5,449,343          | 9/12/95  | Samson <i>et al.</i>        | 604   | 95.01        | 8/11/88             |
|                | A8           | 5,470,318          | 11/28/95 | Griffith, III <i>et al.</i> | 604   | 161          | 10/20/94            |
|                | A9           | 5,478,331          | 12/26/95 | Heflin <i>et al.</i>        | 604   | 283          | 5/11/94             |
|                | A10          | 5,520,647          | 5/28/96  | Solar                       | 604   | 102.02       | 7/2/93              |
|                | A11          | 5,542,936          | 8/6/96   | Razi                        | 604   | 264          | 3/20/95             |
|                | A12          | 5,630,802          | 5/20/97  | Moellmann <i>et al.</i>     | 604   | 164.01       | 4/20/95             |
|                | A13          | 5,704,915          | 1/6/98   | Melsky <i>et al.</i>        | 604   | 175          | 2/14/95             |
|                | A14          | 5,810,869          | 9/22/98  | Kaplan <i>et al.</i>        | 606   | 194          | 11/18/96            |
|                | A15          | 5,931,810          | 8/3/99   | Grabek                      | 604   | 506          | 12/5/96             |
|                | A16          | 5,935,122          | 8/10/99  | Fourkas <i>et al.</i>       | 604   | 523          | 8/1/97              |
|                | A17          | 5,951,520          | 9/14/99  | Burzynski <i>et al.</i>     | 604   | 170.01       | 12/19/96            |
|                | A18          | 5,980,484          | 11/9/99  | Ressemann <i>et al.</i>     | 604   | 164.13       | 2/17/98             |
|                | A19          | 6,004,295          | 12/21/99 | Langer <i>et al.</i>        | 604   | 164.01       | 6/26/98             |
|                | A20          | 6,036,654          | 3/14/00  | Quinn <i>et al.</i>         | 600   | 526          | 9/23/94             |
|                | A21          | 6,090,072          | 7/18/00  | Kratoska <i>et al.</i>      | 604   | 164.01       | 3/14/96             |
|                | A22          | 6,120,499          | 9/19/00  | Dickens <i>et al.</i>       | 606   | 41           | 1/3/96              |
| ✓              | A23          | 6,129,713          | 10/10/00 | Mangosong <i>et al.</i>     | 604   | 264          | 8/11/98             |

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DATE CONSIDERED: 8/19/2005

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INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

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Filing Date:  
July 13, 2001Group:  
3763U.S. Patent Documents  
See Page 1Foreign Patent Documents  
See Page 2Other Art  
See Page 2

## U.S. Patent Documents

| Exam. Init. | Ref. Des. | Document Number | Date     | Name                   | Class | Sub Class | Filing Date App. |
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| mlh.        | A24       | 6,146,354       | 11/14/00 | Beil                   | 604   | 28        | 5/24/96          |
|             | A25       | 6,183,443B1     | 2/6/01   | Kratoska <i>et al.</i> | 604   | 164.03    | 10/26/98         |
|             | A26       | 6,190,349B1     | 2/20/01  | Ash <i>et al.</i>      | 604   | 43        | 8/2/99           |
|             | A27       | 6,200,336B1     | 3/13/01  | Pavcnik <i>et al.</i>  | 623   | 1.15      | 6/2/99           |
|             | A28       | 6,214,029B1     | 4/10/01  | Thill <i>et al.</i>    | 606   | 213       | 4/26/00          |

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| Exam. Init. | Ref. Des. | Document Number | Date | Country | Class | Sub Class | Translation Yes/No |
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## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation   |
|-------------|-----------|--|
| mlh.        | C1        | Amar <i>et al.</i> , "Microcatheterization of the cervical epidural space via lumbar puncture: Technical note," <i>Neurosurgery</i> , 48(5):1183-1187, 2001. Article from the Neurosurgery website at: <a href="http://www.neurosurgery-online.com">http://www.neurosurgery-online.com</a> , October 23, 2001. |
|             | C2        | Blomberg, "A method for epiduroscopy and spinaloscopy. Presentation of preliminary results," <i>Acta Anaesthesiol. Scand.</i> , 29(1):113-116, 1985.   |
|             | C3        | Blomberg, "Fibrous structures in the subarachnoid space: a study with spinaloscopy in autopsy subjects," <i>Anesth. Analg.</i> , 80(5):875-879, 1995.  |
|             | C4        | Delhaas, "Extradural and subarachnoid catheterization using the Seldinger technique," <i>Br. J. Anaesth.</i> , 76(1):149-150, 1996.  |
|             | C5        | Eguchi <i>et al.</i> , "Endoscopy of spinal cord and posterior fossa by a lumbar percutaneous approach: endoscopic anatomy in cadavers," <i>Minim. Invasive Neurosurg.</i> 42(2):74-78, 1999.  |
|             | C6        | Eguchi <i>et al.</i> , "Endoscopy of the spinal cord: cadaveric study and clinical experience," <i>Minim. Invasive Neurosurg.</i> , 42(3):164-151, 1999.   |

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See Page 20

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| mdh.        | C7        | Fries and Reisch, "Biportal Neuroendoscopic Microsurgical Approaches to the Subarachnoid Cisterns. A Cadaver Study," <i>Minim. Invas. Neurosurg.</i> , 39:99-104, 1996. |
|             | C8        | Karakhan <i>et al.</i> , "Operative spinal endoscopy: stereotopography and surgical possibilities," <i>Acta. Neurochir. Suppl.</i> , 61:108-114, 1994.                  |
|             | C9        | Karakhan, "Use of intracranial endoscopy in morphologic studies," <i>Arkh. Anat. Gistol. Embriol.</i> , 98(1):75-82, 1990. Russian.                                     |
|             | C10       | Miyamoto <i>et al.</i> , "The development of spinal endoscope using a flexible optic fiber," <i>No. To. Shinkei</i> , 41(12):1233-1238, 1989. Abstract on page 1238.    |
|             | C11       | Stefanov <i>et al.</i> , "A new method for transcutaneous coaxial neuroendoscopy," <i>Anat. Embryol.</i> , 194(4):319-326, 1996.  |
|             | C12       | Suzukawa <i>et al.</i> , "Percutaneous fiberoptic spinal laser endoscopy," <i>J. Clin Laser Med Surg.</i> , 8(6):27-30, 1990.   |
|             | C13       | Tanaka <i>et al.</i> , "Endoscopic treatment of symptomatic spinal subarachnoid cysts," <i>AJR Am. J. Roentgenol.</i> 169(6):1719-1720, 1997.                           |
|             | C14       | Uchiyama <i>et al.</i> , "Ultrafine Flexible Spinal Endoscope (Myeloscope) and Discovery of an Unreported Subarachnoid Lesion," <i>Spine</i> , 23(21):2358-2362, 1998.  |
| ✓           | C15       | Vinas <i>et al.</i> , "Microanatomical basis for the third ventriculostomy," <i>Minim. Invasive Neurosug.</i> 39(4):116-121, 1996.                                      |

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### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation  |
|-------------|-----------|---|
| meh.        | C16       | Document depicting a prototype stent, sent to applicant on July 13, 2001. |
| ↓           | C17       | Document depicting a prototype stent, sent to applicant on July 13, 2001. |
| ↓           | C18       | Document depicting a prototype stent, sent to applicant on July 13, 2001. |

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## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

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|-------------|-----------|---|
| mhh.        | C19       | Hamada <i>et al.</i> , "Microcatheter intrathecal urokinase infusion into cisterna magna for prevention of cerebral vasospasm," <i>Stroke</i> , 31:2141-2148, 2000. |

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EXAMINER: INITIAL IF REFERENCE CONSIDERED. WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

Date Mailed: April 4, 2003

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|   |                                   |                           |
|---|-----------------------------------|---------------------------|
| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT                                       | Atty. Docket No.:<br>1001.1599102 | Serial No.:<br>09/905,670 |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION<br>DISCLOSURE STATEMENT | Applicant: Phillip D. Purdy       |                           |
|   | Filing Date: July 13, 2001        | Group Art: 3763           |

### U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT NO. | DATE       | NAME              | CLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|--------------|------------|-------------------|-------|-------------------------------|
| <i>mhl.</i>         | 4,808,157    | 02/28/1989 | Coombs            |       |                               |
|                     | 4,904,237    | 02/27/1990 | Janese            |       |                               |
|                     | 4,911,163    | 03/27/1990 | Fina              |       |                               |
|                     | 5,160,323    | 11/03/1992 | Andrew            |       |                               |
|                     | 5,256,146    | 10/26/1993 | Ensminger et al.  |       |                               |
|                     | 5,378,241    | 01/03/1995 | Haindl            |       |                               |
|                     | 5,738,650    | 04/14/1998 | Gregg             |       |                               |
|                     | 5,830,188    | 11/03/1998 | Abouleish         |       |                               |
|                     | 5,846,226    | 12/08/1998 | Urmey             |       |                               |
|                     | 5,928,260    | 07/27/1999 | Chin et al.       |       |                               |
|                     | 6,026,316    | 2/15/2000  | Kucharczyk et al. |       |                               |
|                     | 6,061,587    | 05/09/2000 | Kucharczyk et al. |       |                               |
|                     | 6,162,170    | 12/19/2000 | Foley et al.      |       |                               |
|                     | 6,251,115    | 06/26/2001 | Williams et al.   |       |                               |
|                     | 6,272,370    | 08/07/2001 | Gillies et al.    |       |                               |
|                     | 6,319,241    | 11/20/2001 | King et al.       |       |                               |
|                     | 6,352,530    | 03/05/2002 | Mangosong         |       |                               |
| <i>✓</i>            | 6,379,331    | 04/30/2002 | Barbut et al.     |       |                               |
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| EXAMINER <i>Mumukshu</i>   | DATE CONSIDERED <i>8/19/05</i> |
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|---|-----------------------------------|---------------------------|
| FORM PTO-1449<br><b>INFORMATION DISCLOSURE STATEMENT</b>                                | Atty. Docket No.:<br>1001.1599102 | Serial No.:<br>09/905,670 |
|   | Applicant: Phillip D. Purdy       |                           |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION<br>DISCLOSURE STATEMENT | Filing Date: July 13, 2001        | Group Art: 3763           |

## FOREIGN PATENT DOCUMENTS

|      | DOCUMENT NO. | DATE       | COUNTRY | CLASS | TRANSLATION |    |
|------|--------------|------------|---------|-------|-------------|----|
|      |              |            |         |       | YES         | NO |
| mhh. | WO 00/51669  | 09/08/2000 | WIPO    |       |             |    |
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| mhh. | "Back Break," Article from <i>Forbes Magazine</i> , pg 123-124, August 12, 2002.                      |
| mhh. | "Keeping it Cool," Article from <i>Health Communities, United Hospital</i> , 11(1):1, 8, Winter 2003. |
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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

Atty. Docket No.:

1001.1599102

Serial No.:

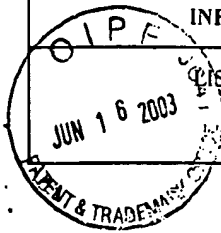
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LIST OF PATENTS AND PUBLICATIONS FOR  
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Applicant: PHILLIP D. PURDY

Filing Date: July 13, 2001

Group Art: 3763



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| EXAMINER<br>INITIAL | DOCUMENT NO. | DATE       | NAME              | CLASS | FILING DATE<br>IF APPROPRIATE |
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| <u>mhh.</u>         | 3,782,388    | 01/01/1974 | Page              |       |                               |
|                     | 4,619,643    | 10/28/1986 | Bai               |       |                               |
|                     | 4,838,878    | 06/13/1989 | Kalt et al.       |       |                               |
|                     | 5,814,016    | 09/29/1998 | Valley et al.     |       |                               |
|                     | 5,928,155    | 07/27/1999 | Eggers et al.     |       |                               |
| <u>✓</u>            | 5,908,385    | 06/01/1999 | Chechelski et al. |       |                               |
|                     |              |            |                   |       |                               |
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## FOREIGN PATENT DOCUMENTS

|             | DOCUMENT NO. | DATE       | COUNTRY | CLASS | TRANSLATION |    |
|-------------|--------------|------------|---------|-------|-------------|----|
|             |              |            |         |       | YES         | NO |
| <u>mhh.</u> | EP 0 454 264 | 10/30/1991 | EPO     |       |             |    |
|             | EP 1 062 959 | 12/27/2000 | EPO     |       |             |    |
|             | WO 97/44082  | 11/27/1997 | WIPO    |       |             |    |
| <u>✓</u>    | WO 99/20334  | 04/29/1999 | WIPO    |       |             |    |
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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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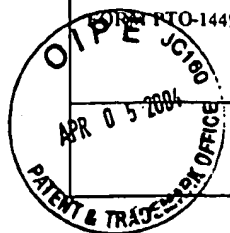
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| PTO-1449*<br>INFORMATION DISCLOSURE STATEMENT<br><br>IN AN APPLICATION<br>(Use several sheets if necessary) | Atty. Docket No.:<br>1001.1599102 | Serial No.:<br>09/905,670 |
|   | Applicant: PHILLIP D. PURDY       |                           |
|   | Confirmation No.: 4825            |                           |
|   | Filing Date: JULY 13, 2001        | Group Art: 3763           |

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT NO. | DATE       | NAME   | CLASS | FILING DATE<br>IF APPROPRIATE |
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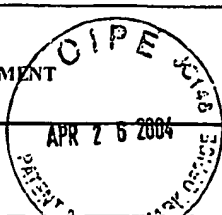
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## FOREIGN PATENT DOCUMENTS

|             | DOCUMENT NO. | DATE       | COUNTRY | CLASS | TRANSLATION |    |
|-------------|--------------|------------|---------|-------|-------------|----|
|             |              |            |         |       | YES         | NO |
| <i>mah.</i> | DE 37 26 453 | 02/16/1989 | DE      |       |             |    |
|             | WO 98/38953  | 09/11/1998 | WIPO    |       |             |    |
|             | WO 98/57603  | 12/23/1998 | WIPO    |       |             |    |
|             | WO 01/54766  | 08/02/2001 | WIPO    |       |             |    |
|             |              |            |         |       |             |    |
|             |              |            |         |       |             |    |

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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| EXAMINER <i>mah.</i>   | DATE CONSIDERED <i>8/19/05</i> |
| EXAMINER: Initial if reference considered whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant. |                                |

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| FORM PTO-1449*<br>INFORMATION DISCLOSURE STATEMENT   | Atty. Docket No.:<br>1001.1599102 | Serial No.:<br>09/905,670 |
|  | Applicant: PHILLIP D. PURDY       |                           |
|  IN AN APPLICATION<br>(Use several sheets if necessary) | Confirmation No.: 4825            |                           |
|  | Filing Date: JULY 13, 2001        | Group Art: 3763           |

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT NO. | DATE       | NAME               | CLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|--------------|------------|--------------------|-------|-------------------------------|
| <i>mhh.</i>         | 4,973,305    | 11/27/1990 | Goltzer            |       |                               |
|                     | 5,445,625    | 08/29/1995 | Voda               |       |                               |
|                     | 5,613,950    | 03/25/1997 | Yoon               |       |                               |
|                     | 5,833,632    | 11/10/1998 | Jacobsen et al.    |       |                               |
|                     | 6,080,140    | 06/27/2000 | Swaminathan et al. |       |                               |
|                     |              |            |                    |       |                               |

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|-------------|--------------|------------|---------|-------|-------------|----|
|             |              |            |         |       | YES         | NO |
| <i>mhh.</i> | WO 02/068036 | 09/06/2002 | WIPO    |       |             |    |
|             |              |            |         |       |             |    |
|             |              |            |         |       |             |    |
|             |              |            |         |       |             |    |
|             |              |            |         |       |             |    |
|             |              |            |         |       |             |    |

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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| EXAMINER <i>MushAn</i>   | DATE CONSIDERED <i>8/19/05</i> |
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